11-24-06

REFUND COMPLETED PCT NATIONAL DIVISION

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Stadelman et al.

Confirmation No. 6380

Serial No.: 10/599,267

**CUSTOMER NUMBER 30743** 

Filed: September 25, 2006

Examiner: not yet assigned

For: ELECTRODE ASSEMBLY FOR THE ELECTROCHEMICAL TREATMENT OF

LIQUIDS WITH A LOW CONDUCTIVITY

Commissioner for Patents PO Box 1450 Alexandria, Virginia 22313-1450

## SUBMISSION OF SMALL ENTITY FORMS AND REQUEST FOR REFUND

Sir:

It has come to the applicant's attention that the above-identified application should be considered to have Small Entity status. At the time of filing Large Entity fees were paid. Therefore, submitted herewith are three (3) Small Entity Statements regarding the above-identified patent application. A Small Entity statement is being submitted herewith which has been signed by each of the inventors. Further, two Statements each signed by the respective Assignees are also being submitted herewith.

The original amount of \$1,030.00 was paid at the time of filing. The filing fee was originally calculated as being \$900 and the surcharge of \$130 for submitting an executed Declaration document after the initial filing. Applicant respectfully requests a refund in the amount of \$515.00 the difference between the small and large entity fees) be credited to Attorney's Deposit Account 50-2041.

Respectfully/submitted,

Michael E. Whitham Registration No. 32,635

**CUSTOMER NUMBER 30743** Whitham, Curtis, Christofferson & Cook, PC 11491 Sunset Hills Road, Suite 340 Reston, Virginia 20190 703-787-9400

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| VERIFI<br>STA  | ED STATE!<br>TUS (37 CF)  | MENT (DECLAR<br>R 1.9(f) AND 1.2   | (b)                        | ON) C   | LAIMING SMAL<br>EPENDENT INVI  | L ENTIT                               | Y  | Docket No.<br>03100326A.A  |
|--|---|--|----------------------------|---|--|---------------------------------------|--|--|
|  | sation No.<br>599,267   | Filing D<br>09/25/20   |                            |   | Patent No<br>N/A   |                                       |  | Issue Date   |
| Applicant/<br>Patentee:  | M. Stadelman<br>N/A   | n et 2l.   |                            |   |  | <del>-</del>                          |  |  |
| Invention:<br>WITH A LO  | ELECTROD<br>W CONDUCT   | E ASSEMBLY FOR   | THE                        | ELECT   | ROCHEMICAL TRE   | ATMENT                                | OF LIG                                     | QUIDS  |
| Trademark  | Office with reg   | gard to the invention  | entitle                    | anaı an   | // / D )   | ventor as on the states               | efined<br>s Code                           | in 37 CFR 1.9(c) for e, to the Patent and                              |
|  |   | n to be filed herewith   | ١.                         |   |  |                                       |  |  |
|  |   | dentified above.   |                            |   |  |                                       | •  |  |
| Q 0  | e patent ident  | med above.   |                            |   |  |                                       |  |  |
| under 37 Ci<br>business co<br>Each person<br>obligation un<br>No | FR 1.9(c) if the<br>neem under 3<br>n, concern or<br>ider contract c<br>such person,<br>ch such perso | nat person had mad 7 CFR 1.9(d) or a no organization to white or law to assign, grant concern or organization, concern or organization, concern or organization, | le the onprofich I of, cor | invention invention invention invention invention invention invention in its listed | on, or to any concert zation under 37 CFR signed, granted, collicense any rights in the below. | classified an which wo                | is an in<br>buld no<br>licens<br>in is lis | ndependent inventor of qualify as a small ed or am under an ted below: |
|  |   |  | re req<br>their            | uired fro<br>status a   | om each named pers<br>s small entities (37 C   | on, concer<br>SFR 1.27)               | n or or                                    | ganization having  |
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|  |   | Individual   | ×                          | Small B   | usiness Concern  |                                       | . Non                                      | profit Organization  |
| FULL NAME  | G.E.R.U.S. G  | esellschaft fur elêctro  | chem                       | isches R  | ecycling Umwelt-und  | Solartechn                            | nlogie                                     | Hda  |
| ADDRESS  | Ostenostrasse   | : 1, 12459 Berlin, Ger   | many                       | /   |  |                                       | o.og.c                                     |  |
|  | u   | Individual   | Ø                          | Small B   | usiness Concern  |                                       | Non  | profit Organization  |
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|  | <b>()</b>   | ndividual  |                            | Small Bu  | siness Concern   |                                       | Nonp                                       | rofit Organization   |

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I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

| NAME OF INVENTOR Manuela Stadelmann / Sadelman | The same |               |
|--|----------|---------------|
| SIGNATURE OF INVENTOR                          | <u> </u> | 24.10.06      |
|  | _ DATE:  | 07.70.06      |
| NAME OF INVENTOR Manfred Blaschke              | 7        |               |
| SIGNATURE OF INVENTOR                          |          |               |
|  | _ DATE:  | 16. 10 Tan 6  |
| NAME OF INVENTOR Maja Wuensche Il Mai 1-3 Che  | 7        |               |
| SIGNATURE OF INVENTOR                          | _}       |               |
| CIGNATURE OF INVENTOR                          | _ DATE:  | 17.10 2006    |
|  | _        |               |
| NAME OF INVENTOR Helmut Petzer                 |          |               |
| SIGNATURE OF INVENTOR H. Pelas                 | DATE:    | 16. 10. 2006  |
|  | _        |               |
| NAME OF INVENTOR Alexander Kraft               | 7        |               |
| SIGNATURE OF INVENTOR                          | DATE:    | 24. Val. 2001 |
|  | _ DATE.  | C4. 001. 200A |
| NAME OF INVENTOR Thorsten Matthée              | 7        |               |
| SIGNATURE OF INVENTOR                          | J<br>•   | 00 0 ( 2 )    |
| - Manually                                     | _ DATE:  | 23.Oct. 2006  |
| NAME OF INVENTOR Matthias Fryda                | 1        |               |
| SIGNATURE OF INVENTOR                          | J        |               |
| - Flex   | DATE:    | 23 av 2006    |
| NAME OF INVENTOR                               | 1        |               |
| SIGNATURE OF INVENTOR                          |          |               |
| CIGNATURE OF INVENTOR                          | DATE:    |               |
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| NAME OF INVENTOR                               |          |               |
| SIGNATURE OF INVENTOR                          | DATE:    |               |
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| VERIFIED STATEMI<br>STATUS (37 CFR 1   | ENT (DECLARATION) (<br>.9(f) AND 1.27 (c)) - SMA   | CLAIMING SMALL ENTI<br>LL BUSINESS CONCERI   | Docket No. 03100326AA  |
|--|--|--|--|
| Application No.<br>10/599,267  | Filing Date<br>09/25/2006  | Patent No. N/A   | Issue Date<br>N/A  |
| Applicant/ M. Stadelmann e<br>Patentee: N/A  | t al.  |  |  |
| Invention: ELECTRODE A   | SSEMBLY FOR THE ELEC   | TROCHEMICAL TREATMEN   | T OF LIQUIDS   |
| ☑ an official of the sr  NAME OF CONCERN: G.   | E.R.U.S. Gesellschaft für eleut  | ered to act on behalf of the con   |  |
| ADDITESS OF CONCERN:   | Ostendstrasse 1, 12459 Berlin  | Germany  concern qualifies as a small bu   |  |
| of Title 35, United States Conot exceed 500 persons. For average over the previous fit basis during each of the padirectly or indirectly, one conhas the power to control both | de, in that the number of em r purposes of this statement, scal year of the concern of the y periods of the fiscal year, ocern controls or has the pown. | ployees of paying reduced feet ployees of the concern, includir (1) the number of employees of the persons employed on a full and (2) concerns are affiliates fer to control the other, or a third end conveyed to and remain with | s under Section 41(a) and (b) ng those of its affiliates, does of the business concern is the -time, part-time or temporary s of each other when either, rd party or parties controls or |
| ☐ the specification  | filed herewith with title as list  | ed ahove   |  |
| ★ the application is   |  | 00 db0 <b>v</b> e.   |  |
| the patent identi  | fied above.  |  |  |
| person, other than the inven   | tor, who could not qualify as  | s concern are not exclusive,<br>e next page and no rights to the<br>s an independent inventor und<br>em under 37 CFR 1.9(d) or a   | ne invention are held by any   |
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| Ooligation und   | ici contract  | OI IAW LO B                                | or organizat                     | к, соп   | vey, or license any rights in t  | he invention                                       | is listed below:                               |
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| FULL NAME<br>ADDRESS   |   | Individual                                 |                                  |  | Small Business Concern   |  | Nonprofit Organization                         |
| ADDILLOG   |   | Individual                                 | <del></del>                      |  | Small Business Concern   |  | Nonprofit Organization                         |
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| FULL NAME  |   | Individual                                 |                                  |  | Small Business Concern   |  | Nonprofit Organization                         |
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| · · · · · · · · · · · · · · · · · ·                                      |   | Individual                                 |                                  | Q <sub>,-,</sub>                               | Small Business Concern   |  | Nonprofit Organization                         |
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| TITLE OF PERS  |   | NG   |                                  | iei.   | , , ,  | Conocu   | ·c_  |
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|  |   |  | Ostendstra                       |  | :<br>  |  | technologie mbH                                |
|  |   |  | 12459 Ber                        | lin Ge   | ermany   |  |  |
| SIGNATURE: _   | <del></del> .                                       |  | Patro                            | te   | DATE:  |  | 7.10. Zar 6                                    |
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| VERIFIED STATEMI<br>STATUS (37 CFR 1   | ENT (DECLARATION) C<br>.9(f) AND 1.27 (c)) - SMAL   | Laiming´small entit<br>L business concern  | Docket No. 03100326AA  |
|--|---|--|--|
| Application No.<br>10/599,267  | Filing Date<br>09/25/2006   | Patent No.<br>N/A  | Issue Date<br>N/A  |
| Applicant/ M. Stadelmann e<br>Patentee: N/A  | t al.   | 3  |  |
| Invention: ELECTRODE A WITH A LOW CONDUCTIVE   | SSEMBLY FOR THE ELECTE TY   | ROCHEMICAL TREATMENT   | OF LIQUIDS   |
| an official of the srr   | nall business concern identified rall business concern empower ONDIAS GmbH  | below:<br>ed to act on behalf of the conce   | rn identified below:   |
|  | Fraunhofer Strasse 1b, 25524 It   | zehoe, Germany   |  |
| not exceed 500 persons. For average over the previous fis basis during each of the pay directly or indirectly, one conchas the power to control both.  I hereby declare that rights up | duced in 37 CFR 1.9(d), for purple, in that the number of emplo purposes of this statement, (1) cal year of the concern of the periods of the fiscal year, and the controls or has the power der contract or law have been of the above identified invention of | yees of the concern, including ) the number of employees of the persons employed on a full-tined (2) concerns are affiliates of to control the other, or a third persons in the control the other. | those of its affiliates, does<br>ne business concern is the<br>ne, part-time or temporary<br>f each other when either,<br>party or parties controls or |
| the specification t  | lled herewith with title as listed  | ahove  |  |
| the application ide  |   |  | ,  |
| the patent identified  | ed above.   |  |  |
| person, other than the invento   | ve-identified small business can<br>be invention is listed on the near, who could not qualify as an<br>fy as a small business concern   | ext page and no rights to the in   | nvention are held by any   |
|  | •   |  |  |
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| , 4,00  | on such per  | son, conce                                | m or organizati                                   | on is listed belo   | w.  |   |  |
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| FULL NAME   | <u>-                                      </u>               |   |   |   |   |   |  |
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| . 201 12.00   |  | Individual                                |   |   |   |   |  |
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| information and<br>willful false sta<br>Title 18 of the I | re that all s<br>d belief are<br>tements and<br>United State | statements<br>believed to<br>d the like s | made herein of the true; and it is of made are pu | of my own know<br>further that these<br>unishable by fine | wledge are true<br>se statements w<br>e or imprisonme | e and that a<br>vere made s<br>ent, or both | of the issue fee or any<br>(37 CFR 1.28(b))<br>all statements made on<br>with the knowledge that |
| any patent issu   | ing thereon  | , or any pa                               | ·   | :   |   | iraize the va<br> .                         | under Section 1001 of alidity of the application,  |
| any patent issu   | ing thereon  | IG:                                       |   | :   |   | i dize the va                               | under Section 1001 of alidity of the application,  |
| NAME OF PERS  | ing thereon<br>ON SIGNIN                                     | IG:                                       | Tho   | :   | Mathé   | i dize the va                               | under Section 1001 of alidity of the application,  |
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| VAME OF PERSOTHER THAN O                                  | ing thereon<br>ON SIGNIN<br>ON SIGNIN<br>WNER:               | IG:<br>G<br>BNING:                        | May<br>CONDIAS Gmt<br>Fraunhofer Stra             | nrsten<br>næging<br>pH                                    | Ma Hhé<br>Dir   | ecto,                                       | under Section 1001 of alidity of the application,  |
| VAME OF PERSITTLE OF PERSITTER THAN O                     | ing thereon<br>ON SIGNIN<br>ON SIGNIN<br>WNER:               | IG:<br>G<br>BNING:                        | May<br>CONDIAS Gmt<br>Fraunhofer Stra             | nrsten<br>næging<br>pH                                    | Ma Hhé<br>Dir   | ecto,                                       | under Section 1001 of alidity of the application,  |
| VAME OF PERSITTLE OF PERSITTER THAN O                     | ing thereon<br>ON SIGNIN<br>ON SIGNIN<br>WNER:               | IG:<br>G<br>BNING:                        | May<br>CONDIAS Gmt<br>Fraunhofer Stra             | nrsten<br>næging<br>pH                                    | Ma Hhé<br>Dir   | ecto,                                       | under Section 1001 of alidity of the application,  |

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